

ELECTRONIC RECORDS MANAGEMENT - PHASE II (TO 101)

REPOSITORY REQUIREMENTS SPECIFICATION MATRIX

August 31, 2002

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
1.1	FSA ERMS	Create	The ERM repository shall provide users with the capability to select and assign a file code to a record if the user chooses to save an electronic document in the system.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.2)	Fundamental	
1.2	FSA ERMS	Create	The ERM repository shall provide authorized users the capability to change a file code assigned to a filed record.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.2)	Fundamental	
1.3	FSA ERMS	Create	The ERM repository shall assign a unique computer-generated record identifier to each record.	As stated in PSCS/ERMS	DoD 5015.2 (2.1.1)	Fundamental	
1.4	FSA ERMS	Create	The ERM repository shall provide the capability to create organizational record categories and files.		DoD 5015.2 (2.2.1)	Fundamental	
1.5	FSA ERMS	Create	The ERM repository shall provide the capability to link supporting and related records and related information such as notes, marginalia, and attachments, as well as all metadata, to the record.	As stated in PSCS/ERMS	DoD 5015.2 (2.1.2)	Fundamental	
1.6	FSA ERMS	Create	In the process of scanning the backlog of paper documents within FSA, metadata fields shall be captured as part of the scanning process.	As stated in PSCS/ERMS	DoD 5015.2 (3.3)	Fundamental	
1.7	FSA ERMS	Create	The ERM repository shall (for each record) capture or provide the user with the capability to assign, as appropriate, metadata elements when the record is filed.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.2.5)	Fundamental	

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1.8	FSA ERMS	Create	When a user saves an electronic document to the ERM repository, the system shall automatically date a document when it is saved as a record, and preserve the date of receipt on records received. This date shall remain constant, without being changed when the document is accessed, read, copied, or transferred. The Repository shall not permit this data to be edited.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.2.4)	Fundamental	
1.9	FSA ERMS	Create	The ERM repository shall provide authorized users the capability to create, add, edit, and delete disposition instructions from the General Records Schedule or the Department Records Disposition Schedule and their associated disposition codes. Each disposition code shall be linked to its associated disposition instruction.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.3) (2.2.4)	Fundamental	
1.10	FSA ERMS	Create	The ERM repository shall identify media type, record format and physical location.	As stated in PSCS/ERMS	DoD 5015.2 (2.1.3)	Fundamental	
1.11	FSA ERMS	Create	Records that have been frozen shall be identifiable by the ERM repository, and authorized individuals shall have the capability to reactivate or change a record's assigned disposition.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.4)	Fundamental	
1.12	FSA ERMS	Create	ERM repository shall support the use of text labels and text equivalents for non-text elements along with other conventions necessary for proper accessibility design.	As stated in PSCS/ERMS		Important	

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1.13	DoE Specs Interviews	Create	ERM repository shall treat electronic mail messages (including attachments) that have been filed as records, as any other record	As stated in DoE Specifications (DoE-STD-4001-2000), Customer Service and Support, Direct Loan Servicing	36 CFR 1234.24 DoD 5015.2 (2.1.2)	Important	Interviews with Dena Bates, Dan Hayward, Denise LaFeste, Paula Dyer, Randy Bowman
1.14	DoE Specs	Create	ERM repository shall capture and automatically store the transmission and receipt data identified by NARA (if available from the e-mail system) as part of the record profile when an e-mail message is filed as a record.	As stated in DoE Specifications (DoE-STD-4001-2000)	36 CFR 1234.24	Important	
1.15	DoE Specs	Create	ERM repository shall store the attachments to an e-mail record and to associate and link the attachment with the e-mail record.	As stated in DoE Specifications (DoE-STD-4001-2000)	36 CFR 1234.24 DoD 5015.2 (2.1.2)	Important	
1.16	DoE Specs	Create	ERM repository shall provide the capability to store distribution lists as required to ensure identification of the send and recipients of messages that are records.	As stated in DoE Specifications (DoE-STD-4001-2000)	36 CFR 1234.24	Important	
1.17	DoE Specs	Create	ERM repository shall provide the capability to up/download and store calendar and task list data from PDAs. These calendars and task lists may meet NARA's definition of a record.	As stated in DoE Specifications (DoE-STD-4001-2000)	44 USC 3301 General Records Schedule 23, Item 5 36 CFR 1234.24, ref. a.5	Important	

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1.18	NARA	Create	The ERM repository shall provide the capability to receive copies of websites and real time data, if websites are used for receiving electronically transmitted comments, transactions or data	NHPRC (NARA) funded "Guidelines for Electronic Records Management on State and Federal Websites" 1998		Important	
1.19	NARA	Create	The ERM repository shall provide for a copy of each FSA internet website, where the FSA records officer determines that the website contains record materials not maintained elsewhere.	Bridg Meeting 4/25/2001, NARA Guidance to Records Officers, Customer Service and Support		Important	Interview with Dena Bates
1.20	NARA	Create	It is understood that internet websites are frequently updated, therefore, the ERM repository shall record a separate record of each update, the creator, and related meta data for each website recorded above.	Bridg Meeting 4/25/2001, NARA Guidance to Records Officers		Important	
1.21	NARA	Create	The ERM shall provide a standard interchange format when necessary to permit the exchange of documents on electronic media between FSA computers using different software/operating systems and the conversion or migration of documents on electronic media from one system to another.		36 CFR 1234.22 ref a.3	Fundamental	
1.22	DMCS	Create	The ERM repository shall provide the capability to import correspondence from imaging subsystems (discharge applications, control correspondence, death certificates, etc.) for inclusion in the permanent borrowers file.	As stated in SLPC/NPC		Important	

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1.23	DMCS	Create	The ERM repository shall provide the capability to import letters generated by the DMCS letters subsystems for inclusion in the permanent borrowers file.	As stated in SLPC/NPC		Important	
1.24	Interviews	Create	ERM repository shall provide centralized scanning services for new documents/ records.	Direct Loan Servicing		Critical	Interviews with Dan Hayward, Denise LaFeste, Paula Dyer, Randy Bowman
1.25	Interviews	Create	ERM repository shall support jpeg files.	Direct Loan Servicing		Important	Interviews with Dan Hayward, Denise LaFeste, Paula Dyer, Randy Bowman
1.26	Interviews	Create	ERM repository shall support Word, Excel, Access and PowerPoint file formats.	Direct Loan Servicing, Customer Service and Support		Important	Interviews with Dan Hayward, Denise LaFeste, Paula Dyer, Randy Bowman, Dena Bates
1.27	Interviews	Create	The ERM repository shall accept documents in PDF format.	CMO, eZ-Audit FASFA Customer Service and Support		Critical	Interviews with Randall Wolff, Len Matheny, Marya Dennis, Shirley Mackintosh, Dena Bates
1.28	Interviews	Create	ERM repository shall support TIFF Group 4 files.	FASFA		Important	Interviews with Marya Dennis, Shirley Mackintosh
1.29	Interviews	Create	ERM repository shall allow the capability to import scanned images, keyed data and electronic applications.	FASFA		Critical	Interviews with Marya Dennis, Shirley Mackintosh

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1.30	Interviews	Create	ERM repository shall provide the capability to import files from CD-R and Zip Drive media.	Direct Loan Servicing		Important	Interviews with Dan Hayward, Denise LaFeste, Paula Dyer, Randy Bowman
1.31	Interviews	Create	ERM repository shall provide the capability to import and manage electronic copies of FSA publications.	Customer Service and Support	General Records Schedule #13 Note	Important	Interview with Dena Bates
1.32	DMCS	Create	ERM repository shall have the capability to receive input to and manage the Permanent School File (PEPS) and variations to this file.	Comments from IPT Mid-process update meeting		Important	
1.33	IPT Meeting Notes	Create	ERM repository shall treat voicemail as a record.	Comments from IPT Mid-process update meeting		Important	
1.34	DoD Requirements	Create	ERM repository shall uniformly create and maintain indexes for the following information regardless of media: Record Identifier, classification code, creating organization, creating individual, subject, date-of-record, address (es), location, media type and format.		DoD 5015.2 (2.3)	Fundamental	

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2.1	FSA ERMS	Manage	The ERM repository shall provide the capability for only authorized individuals to create, add, edit, and delete records and their files codes. Each file code shall be linked to its associated file and to its higher-level file code(s).	As stated in PSCS/ERMS	DoD 5015.2 (4.1) (2.2.4)	Fundamental	
2.2	FSA ERMS	Manage	The ERM repository shall provide the capability to bulk load (i.e., import) the following:	As stated in PSCS/ERMS		Important	
2.2.1	FSA ERMS	Manage	The ERM repository shall provide the capability to bulk load: File Plan. <i>{one time}</i>	As stated in PSCS/ERMS As stated in DoE-STD-4001-2000		Important	
2.2.2	FSA ERMS	Manage	The ERM repository shall provide the capability to bulk load: Disposition Instructions and Codes. <i>{one time}</i>	As stated in PSCS/ERMS As stated in DoE-STD-4001-2000		Important	
2.2.3	FSA ERMS	Manage	The ERM repository shall provide the capability to bulk load: Electronic Records. <i>{multiple times}</i>	As stated in PSCS/ERMS As stated in DoE-STD-4001-2000		Important	
2.2.4	FSA ERMS	Manage	The ERM repository shall provide the capability to bulk load: Record Metadata. <i>{multiple times}</i>	As stated in PSCS/ERMS As stated in DoE-STD-4001-2000		Important	
2.3	FSA ERMS	Manage	The ERM repository shall provide the capability to output for viewing, saving, or printing the record profile information (metadata).	As stated in PSCS/ERMS	DoD 5015.2 (2.2)	Fundamental	

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2.4	FSA ERMS	Manage	ERM repository shall support alternate hardware devices necessary for accessibility.	As stated in PSCS/ERMS	36 CFR 1194	Important	
2.5	FSA ERMS	Manage	The ERM repository shall link the record metadata to the record so that it can be displayed when needed and transported with the record when a copy is made and transmitted to another location.	As stated in PSCS/ERMS	DoD 5015.2 (2.2)	Fundamental	
2.6	FSA ERMS	Manage	The ERM repository shall provide the capability for only authorized individuals to create, add, edit, and delete records and their files codes. Each file code shall be linked to its associated file and to its higher-level file code(s).	As stated in PSCS/ERMS	DoD 5015.2 (4.1)	Fundamental	
2.7	DoE Specs	Manage	ERM repository shall provide the capability for authorized individuals (only) to add user defined profile data fields, for site-specific information, such as Privacy Act, project numbers, confidentiality, etc.	As stated in DoE Specifications (DoE-STD-4001-2000)	DoD 5015.2 (2.2) 36 CFR 1234.22(n)	Fundamental	
2.8	DoE Specs	Manage	ERM repository shall correctly accommodate and process information containing the year 2000 as well as dates in the current and previous centuries. The capability shall include, but not be limited to, date data century recognition, calculations, and logic that accommodate same century and multi-century formulas and date values, and date data interface values that reflect the century. In addition, leap year calculations shall be accommodated.	As stated in DoE Specifications (DoE-STD-4001-2000)	FIPS 4-2, "Representation of Calendar Date for Information Interchange," reference 3.a	Important	

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2.9	DoE Specs	Manage	ERM repository shall provide or interface to a repository for storing electronic records and prevent unauthorized access to the repository. If the repository is contained in an electronic database management system (DBMS), the query interface between the RMA and DBMS shall comply with FIPS 127.2, "Database Language SQL" (latest version).	As stated in DoE Specifications (DoE-STD-4001-2000)	44 USC 3105 36 CFR 1222.50 FIPS 127.2 DoD 5015.2 (2.2.4)	Important	
2.10	DoE Specs	Manage	ERM repository shall provide the capability for authorized individuals to make global changes to the record categories, record category codes, disposition instructions, and disposition instruction codes.	As stated in DoE Specifications (DoE-STD-4001-2000)		Important	
2.11	DoE Specs	Manage	ERM repository shall provide the capability to detach part of the file schema, re-attach to any specified file; move files from one location to another with the scheme; and delete a file and all of its sub-files.	As stated in DoE Specifications (DoE-STD-4001-2000)		Important	
2.12	GPRA	Manage	The ERM Repository shall contribute to the elimination of duplicate electronic and paper records, thereby reducing waste and positively impacting the quality of student financial loan information.	Source: GAO Report, 2001, Department of Education, "Status of Achieving Key Outcomes and Addressing Major Management Challenges"	GPRA	Critical	
2.13	DoE Specs	Manage	ERM repository shall provide a capability to generate reports on the information held within the repository based upon user-developed report templates or user query.	As stated in DoE Specifications (DoE-STD-4001-2000)		Important	

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2.14	DoE Specs	Manage	ERM repository shall provide a capability to generate standard records management forms, such as: <ul style="list-style-type: none"> SF 115 and 115-A, Request for Records Disposition Authority SF 135 and 135A, Records Transmittal and Receipt National Archives Form 14097, Technical Description for Transfer of Electronic Records to the National Archives.	As stated in DoE Specifications (DoE-STD-4001-2000)		Important	
2.15	DoE Specs	Manage	ERM repository shall provide a capability to use bar code systems to manage files or boxes.	As stated in DoE Specifications (DoE-STD-4001-2000)		Critical	
2.16	DMCS	Manage	ERM repository shall interface with Informix RDBMS 7.3, Informix ESQL/C, Informix I-Net. (see Attachment A)	As stated in SLPC/NPC		Critical	
2.17	DMCS	Manage	ERM repository shall interface with the EDMS system to access the attributes of the images (single, double, p-notes, other).	As stated in SLPC/NPC		Critical	
2.18	DMCS	Manage	ERM repository may interface with RUMBA for retrieving electronic records from DMCS database management system (DBMS). (see Attachment A)	As stated in SLPC/NPC		Critical	
2.19	DMCS	Manage	ERM repository shall provide a capability to use bar code systems to manage and read files or boxes from the Warehouse Inventory Reporting System (WIR).	As stated in SLPC/NPC		Critical	

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2.20	DMCS eZ-Audit	Manage	ERM repository shall interface with Solaris 2.6 (see Attachment A)	As stated in SLPC/NPC eZ-Audit		Critical	
2.21	DMCS	Manage	ERM repository shall interface with Plexus Object/Storage Management Suite v3.1.03. (see Attachment A)	As stated in SLPC/NPC		Critical	
2.22	DMCS	Manage	The ERM repository shall provide the capability to import Informix database information from WIR and EDMS.	As stated in SLPC/NPC		Critical	
2.23	DMCS	Manage	The ERM repository shall accept form SF1081, DOJ1081 and SF215 to track transfer funds between agencies.	As stated in SLPC/NPC		Critical	
2.24	eZ-Audit	Manage	EZ-Audit will retrieve documents from ERM for display (read only) to schools and case teams.	eZ-Audit Design		Critical	Interview with Randall Wolff
2.25	Interviews	Manage	ERM repository shall interface with Accord'e DM software for retrieving electronic records.	CMO, eZ-Audit		Fundamental	Interviews with Randall Wolff, Len Matheny
2.26	eZ-Audit	Manage	ERM shall accept and store uneditable PDF files from eZ-Audit.	CMO, eZ-Audit		Critical	Interview with Randall Wolff

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2.27	Interviews	Manage	ERM repository shall interface with database managing student PIN numbers.	FASFA		Critical	Interviews with Marya Dennis and Shirley Mackintosh
2.28	COD	Manage	The ERM repository may interface with Sun Solaris (Unix) platform. (see Attachment A)	As stated in COD documentation		Critical	
2.29	eZ-Audit	Manage	The ERM repository may interface with IBM Websphere Application Server and EAI server (IBM MQSeries). (see Attachment A)	eZ-Audit		Critical	
2.30	COD	Manage	The ERM repository may interface with Excalibur's RetrievalWare software. (see Attachment A)	As stated in COD documentation		Critical	
2.31	COD	Manage	The ERM repository may interface with Kofax Ascent capture software. (see Attachment A)	As stated in COD documentation		Critical	

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2.332	DoD Requirements	Manage	The ERM repository must provide sufficient space for permanent borrowers files and related metadata.	As stated in SLPC/NPC	DoD 5015.2 (4.2)	Fundamental	
2.33	DoD Requirements	Manage	The ERM repository will provide sufficient space for the 3 million pages of documents in the EDMS files.	CMO, eZ-Audit	DoD 5015.2 (4.2)	Fundamental	Interviews with Randall Wolff, Len Matheny
2.34	DoD Requirements	Manage	The ERM repository will provide sufficient space for an additional 32 thousand pages added each month from CMO/DM.	CMO, eZ-Audit	DoD 5015.2 (4.2)	Fundamental	Interviews with Randall Wolff, Len Matheny
2.35	DoD Requirements	Manage	ERM repository shall provide enough capacity to house approximately 400,000 new applications each year.	FASFA	DoD 5015.2 (4.2)	Fundamental	Interviews with Marya Dennis and Shirley Mackintosh
2.36	DoD Requirements	Manage	ERM repository shall provide enough capacity to house at least 28,800 controlled correspondence, 820 contract modifications and 28,800 bankruptcy/fraud documents.	Direct Loan Servicing	DoD 5015.2 (4.2)	Fundamental	Interviews with Dan Hayward, Denise LaFeste, Paula Dyer, Randy Bowman
2.37	DoD Requirements	Manage	ERM repository shall provide sufficient storage space.		DoD 5015.2 (4.2)	Fundamental	
3.1	FSA ERMS	Store	The ERM repository shall prevent changes to documents that have been designated as records. The content of the record, once filed, shall be preserved. Changed or revised records shall be designated as new records with different identification data.	As stated in PSCS/ERMS	DoD 5015.2 (2.4.1)	Fundamental	

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3.2	FSA ERMS	Store	The ERM repository shall permit the capability to identify vital records.		DoD 5015.2 (2.4.2)	Fundamental	
3.3	FSA ERMS	Store	The ERM repository shall store all metadata date fields in a date format that allows date range searching.	As stated in PSCS/ERMS		Important	
3.4	FSA ERMS	Store	The ERM repository shall not alter nor allow alteration of records contained in the ERM repository.	As stated in PSCS/ERMS	DoD 5015.2 (2.4.1)	Fundamental	
3.5	FSA ERMS	Store	The ERM repository shall preserve the format and content of the record as it was filed.	As stated in PSCS/ERMS	DoD 5015.2 (2.4.1)	Fundamental	
3.6	DoE Specs	Store	The method used to backup ERM repository data base files shall provide copies of the data that can be stored off-line and at separate location(s).	As stated in DoE Specifications (DoE-STD-4001-2000)	36 CFR 1234.30, par. (b)	Fundamental	
3.7	DoE Specs	Store	ERM repository shall provide the capability, as determined by FSA, to automatically create backup or redundant copies of the records as well as their metadata.	As stated in DoE Specifications (DoE-STD-4001-2000)	36 CFR 1234.28 and 32	Fundamental	
3.8	DoE Specs	Store	ERM repository shall provide the capability to backup redundant copies of records and metadata. Destruction of data on backup tapes shall comply with 36 CFR 1234. 32 and 34 (b) such as they cannot be physically reconstructed.	As stated in DoE Specifications (DoE-STD-4001-2000)	36 CFR 1234. 32 and 34 (b)	Fundamental	

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3.9	DoD Requirements	Store	ERM repository shall provide for the monitoring of available storage space. The storage statistics shall provide a detailed accounting of the amount of storage consumed by the Repository processes, data and records. The system management function shall notify authorized individual of the need for corrective action in the event of critically low storage space.		DoD 5015.2 (4.2)	Fundamental	
4.1	FSA ERMS	Retrieve	The ERM repository shall provide indexing capabilities that allow the user to search and retrieve records based upon pre-determined indexing, or metadata elements. These data elements should represent to the user a common, logical way to access and retrieve records.	As stated in PSCS/ERMS	DoD 5015.2 (2.6.2) (2.3.3)	Fundamental	
4.2	FSA ERMS	Retrieve	The ERM repository shall provide for viewing, saving, and printing lists of records that have no assigned disposition.	As stated in PSCS/ERMS	DoD 5015.2 (2.6.1) (2.6.2)	Fundamental	
4.3	FSA ERMS	Retrieve	The ERM repository shall, using the disposition instruction for the record category, identify and present records that are eligible for destruction.	As stated in PSCS/ERMS	DoD 5015.2 (2.6.1)	Fundamental	
4.4	FSA ERMS	Retrieve	Users shall have the capability to specify partial matches for multiple word fields and designate "wild card" fields or characters.	As stated in PSCS/ERMS		Fundamental	
4.5	FSA ERMS	Retrieve	The ERM repository shall allow searches using Boolean logic: and, or, greater than (>), less than (<), equal to (=), and not equal to (/=).	As stated in PSCS/ERMS		Fundamental	

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Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
4.6	FSA ERMS	Retrieve	The ERM repository shall present the user a list of documents meeting the retrieval criteria, or notify the user if there are no records meeting the retrieval criteria. The information contained in the list shall be user definable from the set of record profile attributes.	As stated in PSCS/ERMS	DoD 5015.2 (2.6.2)	Fundamental	
4.7	FSA ERMS	Retrieve	The ERM repository shall provide to the user's workstation copies of electronic documents selected from the list of documents meeting the retrieval criteria in the format in which they were provided to the system for filing.	As stated in PSCS/ERMS	DoD 5015.2 (2.6.3)	Fundamental	
4.8	FSA ERMS	Retrieve	The ERM repository shall provide the capability to view each file in its stored format or its equivalent.	As stated in PSCS/ERMS	DoD 5015.2 (2.6.3)	Fundamental	
4.9	FSA ERMS	Retrieve	The ERM repository shall provide additional search and retrieval features such as full text search to assist the user in locating records.	As stated in PSCS/ERMS		Fundamental	
4.10	DoE Specs	Retrieve	ERM repository shall provide vocabulary control to group related records together through the use of an organization-specific thesaurus.	As stated in DoE Specifications (DoE-STD-4001-2000)		Important	
4.11	SLPC/NPC	Retrieve	The ERM repository shall provide indexing capabilities that allow the user to search and retrieve permanent borrowers files based upon the Debt_ID key.	As stated in SLPC/NPC Electronic Document Imaging System (EDIS).		Critical	

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Enterprise Records Management Repository

Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
4.12	COD	Retrieve	The ERM repository shall provide the capability to retrieve permanent borrowers images through a web based (thin client) browser with user id and password protection.			Critical	
4.13	Interviews	Retrieve	The ERM repository shall provide the capability to retrieve school document images through a web based (thin client) browser with user id and password protection.	CMO, eZ-Audit, FASFA		Critical	Interviews with Randall Wolff, Len Matheny, Marya Dennis, Shirley Mackintosh
4.14	Interviews	Retrieve	The ERM repository shall provide access capabilities to allow the user to search and retrieve school files using the school unique OPE ID along with standard Boolean search commands.	CMO, eZ-Audit		Critical	Interview with Randall Wolff
4.15	Interviews	Retrieve	ERM repository shall provide access to all 5 personnel of Direct Loan Servicing, Consolidation and Repayments.	Direct Loan Servicing		Critical	Interviews with Dan Hayward, Denise LaFeste, Paula Dyer, Randy Bowman
4.16	Interviews	Retrieve	ERM repository shall provide internal access to Customer Service and Application Processing personnel only.	FASFA		Critical	Interviews with Marya Dennis and Shirley Mackintosh
4.17	Interviews	Retrieve Security	ERM repository shall provide external access to students and parents using assigned PIN number, user id and password.	FASFA		Critical	Interviews with Marya Dennis and Shirley Mackintosh
4.18	IPT Meeting Notes	Retrieve	ERMS repository shall interface with "Consistent Answers", a customer service management application, for the purpose of searching records to respond to public queries.	Comments from IPT Mid-process update meeting		Important	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
5.1	FSA ERMS	Security	The ERM repository shall not permit modification of the record identifier once assigned.	As stated in PSCS/ERMS	DoD 5015.2	Fundamental	
5.2	FSA ERMS	Security	The ERM repository shall provide the capability for only authorized users to modify the metadata values of stored records that have not been specified as uneditable.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.2)	Fundamental	
5.3	FSA ERMS	Security	The ERM repository shall include a repository for storing electronic records and prevent unauthorized access to the repository.		DoD 5015.2 (4.1.1)	Fundamental	
5.4	FSA ERMS	Security	Only authorized individuals shall have the ability to move/delete records from the ERM repository.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.4)	Fundamental	
5.5	FSA ERMS	Security	All documents in the ERM repository shall be retrievable by authorized users.	As stated in PSCS/ERMS	DoD 5015.2 (4.1.1)	Fundamental	
5.6	FSA ERMS	Security	The ERM repository shall provide the capability for only authorized users to suspend the deletion of records and related profiles until a successful transfer has been confirmed.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.4)	Fundamental	
5.7	FSA ERMS	Security	ERM repository shall apply innate Windows NT standards required to identify and authenticate user access to the system and its records.	As stated in PSCS/ERMS		Fundamental	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
5.8	FSA ERMS	Security	ERM repository shall provide the ability to designate a Records Manager as the only person(s) responsible for reversing the designation of an official record.	As stated in PSCS/ERMS		Fundamental	
5.9	FSA ERMS	Security	ERM repository, in conjunction with its operating environment, shall use authentication measures that allow only authorized users to access the system. At a minimum, ERM repository will implement authentication measures that require User id and Password.	As stated in PSCS/ERMS		Fundamental	
5.10	FSA ERMS eZ-Audit	Security	ERM repository shall provide the capability to define access controls at system, organization, document (or record), and associated data level. ERM repository will accept a single login from the user's desktop application.	As stated in PSCS/ERMS eZ-Audit	DoD 5015.2 (4.1.1)	Fundamental	
5.11	FSA ERMS eZ-Audit	Security	ERM repository shall provide capability to define different groups of users and access criteria. ERM repository will accept a single login from the user's desktop application.	As stated in PSCS/ERMS eZ-Audit	DoD 5015.2 (4.1.1)	Critical	
5.12	FSA ERMS	Security	ERM repository shall control access to records based on business needs and established privileges by work group membership, assigned role(s) and user identity.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.10)	Fundamental	
5.13	FSA ERMS	Security	ERM repository shall support multiple-user access roles and responsibilities.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.10)	Fundamental	

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Enterprise Records Management Repository

Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
5.14	FSA ERMS	Security	ERM repository shall control access to transfer and destroy functions based on the identity of the user and the user role.	As stated in PSCS/ERMS	DoD 5015.2 (4.1.2)	Fundamental	
5.15	FSA ERMS	Security	ERM repository shall control access to audit functions based on identity of the user and the user role.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.10.4)	Fundamental	
5.16	FSA ERMS	Security	ERM repository shall provide a consistent level of system security and access controls for remote system access by FSA regional facilities.	As stated in PSCS/ERMS		Fundamental	
5.17	FSA ERMS	Security	ERM repository shall allow only Records Managers (or their designees) the capability to create/generate record management audit reports.	As stated in PSCS/ERMS		Fundamental	
5.18	Interviews	Security	The ERM repository shall provide the capability to protect documents covered by the Privacy act.	FASFA		Fundamental	Interviews with Marya Dennis and Shirley Mackintosh
5.19	eZ-Audit	Security	The ERM repository shall allow for the use of encryption of sensitive data.	eZ-Audit		Critical	
5.20	eZ-Audit	Security	The ERM repository shall allow access to external institutions, internal FSA users and administrators through the use of user identification credentials. ERM will allow eZ-Audit users access to only requested documents based on eZ-Audit security.	eZ-Audit		Critical	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
5.21	eZ-Audit	Security	The ERM repository shall support user access services. A set of common functions that limit application access to specific users within a company or external customers. ERM will allow eZ-Audit users access to only requested documents based on eZ-Audit security.	eZ-Audit		Critical	
5.22	eZ-Audit	Security	The ERM repository shall support data access services. A set of common functions that limit access to specific data within an application to specific users or user types. ERM will allow eZ-Audit users access to only requested documents based on eZ-Audit security.	eZ-Audit		Critical	
6.1	FSA ERMS	Copy	The ERM repository shall allow a user to copy the pertinent records and associated profiles to a user-specified filename, path, or device.	As stated in PSCS/ERMS	DoD 5015.2 (2.7.2)	Fundamental	
6.2	DoD Requirements	Copy	The ERM repository shall never allow the modification of the stored organizational record.		DoD 5015.2 (2.7)	Fundamental	
7.1	FSA ERMS	Transfer	The ERM repository shall, using the disposition instruction for the record category, identify and present those records eligible for transfer.	As stated in PSCS/ERMS	DoD 5015.2 (2.8.1)	Fundamental	
7.2	FSA ERMS	Transfer	The ERM repository shall provide the capability to move associated records and related metadata for each record approved for transfer.	As stated in PSCS/ERMS	DoD 5015.2 (2.8.2)	Fundamental	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
7.3	FSA ERMS	Transfer	The ERM repository shall provide the capability to transfer permanent records and related metadata approved for transfer to NARA in a format approved by NARA at the time of transfer.	As stated in PSCS/ERMS As stated in SLPC/NPC	NARA Bulletins 2002-02 2000-02	Important	FSA does not have any permanent records to transfer based on current schedules
8.1	FSA ERMS	Disposition	The ERM repository shall be capable of scheduling each of the following three types of disposition instructions:				
8.1.1	FSA ERMS	Disposition	Dispositions, where records are eligible for disposition immediately after the expiration of a fixed period of time.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.5)	Fundamental	
8.1.2	FSA ERMS	Disposition	Event Dispositions, where records are eligible for disposition immediately after a specified event takes place.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.5)	Fundamental	
8.1.3	FSA ERMS	Disposition	Time-Event Dispositions, where the retention periods of records are triggered after a specified event takes place.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.5)	Fundamental	
8.2	FSA ERMS	Disposition	The ERM repository shall support disposition instructions that include further retention and review, transfer to NARA for permanent preservation, or destruction.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.5)	Fundamental	
8.3	FSA ERMS	Disposition	ERM repository shall provide the capability to automatically track the disposition schedules of records.	As stated in PSCS/ERMS		Fundamental	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
8.4	FSA ERMS	Disposition Security	For all records approved for destruction and for those that have been transferred, the ERM repository shall present a second confirmation, within a dialog box, requiring authorized individuals to confirm the delete command, before the destruction operation of the records and/or profiles are executed.	As stated in PSCS/ERMS		Fundamental	
8.5	FSA ERMS Interview	Disposition	The ERM repository shall provide the capability to reschedule records already in the system when disposition instructions change from the original designations.	As stated in PSCS/ERMS CMO, eZ-Audit	DoD 5015.2 (2.2.15)	Fundamental	Interview with Randall Wolff
8.6	FSA ERMS	Disposition	The ERM repository shall provide the capability to extend or suspend (freeze) the retention period of individual file tags, which are required to be retained beyond their scheduled disposition because of special circumstances (such as a court order or an investigation) that have altered the normal administrative, legal, or fiscal value of the records.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.1.6)	Fundamental	
8.7	FSA ERMS	Disposition	The ERM repository shall be capable of implementing cutoff instructions for scheduled and unscheduled records.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.5.3)	Fundamental	
8.8	FSA ERMS	Disposition	The ERM repository shall provide the capability to assign a disposition instruction code to a file tag code, file tag name, or file title.	As stated in PSCS/ERMS		Fundamental	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
8.9	FSA ERMS	Disposition	The ERM repository shall provide the capability to schedule records that were previously unscheduled and to correct dispositions that are in error.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.6.5)	Fundamental	
8.10	FSA ERMS	Disposition	The ERM repository shall provide the capability to identify records with event-driven dispositions and provide the capability to indicate when the specified disposition event has occurred.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.6.2)	Fundamental	
8.11	FSA ERMS	Disposition	The ERM repository shall provide the capability to identify records with time-event dispositions and provide the capability to indicate when the specified event has occurred and when to activate applicable cutoff and retention instructions.	As stated in PSCS/ERMS	DoD 5015.2 (2.2.6.2)	Fundamental	
8.12	SLPC/NPC	Disposition	The ERM repository shall be capable of scheduling disposition instructions immediately after a specified event takes place (Scanning, doc prep, etc.).	As stated in SLPC/NPC		Fundamental	
9.1	FSA ERMS	Screening	The ERM repository shall provide for viewing, saving and printing list(s) of records within record categories based on disposition instruction code, record category or file code, and/or disposition event to identify records due for disposition processing. The information contained in the list(s) shall be user definable record profile attributes.	As stated in PSCS/ERMS	DoD 5015.2 (2.5.1)	Fundamental	
9.2	FSA ERMS	Screening	The ERM repository shall identify files scheduled for cutoff, and present them only to the authorized individual for approval. The system shall not allow any additions or other alterations to files that have reached cutoff.	As stated in PSCS/ERMS	DoD 5015.2 (2.5.2)	Fundamental	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
9.3	FSA ERMS	Screening	Using metadata elements as search criteria, the ERM repository shall allow searches using any combination of the metadata elements.	As stated in PSCS/ERMS	DoD 5015.2 (2.6.2)	Fundamental	
10.1	FSA ERMS	Electronic Signature	ERM repository shall apply digital signature standards to uniquely identify and verify the originator of a record (Non-repudiation).	As stated in PSCS/ERMS	NARA Bulletin on GPEA 2001-02	Critical	
10.2	Interview	Electronic Signature	ERM repository shall provide the capability to accept and manage electronic signatures from the schools.	CMO, eZ-Audit		Critical	Interview with Randall Wolff
11.1	FSA ERMS	Audit	ERM repository shall provide an audit capability to log actions performed on each system record. These actions include view, create, copy, delete, move, and edit actions.	As stated in PSCS/ERMS	DoD 5015.2 (4.3)	Fundamental	
11.2	FSA ERMS	Audit	ERM repository shall provide a capability whereby the Records Manager can specify which of the above actions are audited.	As stated in PSCS/ERMS		Fundamental	
11.3	FSA ERMS	Audit Security	ERM repository, as implemented in its operating environment, shall provide a query function whereby an organization can set up specialized reports to determine what level of access a user has, what records each user accessed, and what operations were performed on those records.	As stated in PSCS/ERMS	DoD 5015.2 (4.2)	Fundamental	
11.4	FSA ERMS	Audit Security	ERM repository shall control access to audit functions based on the identity of the user and the user role.	As stated in PSCS/ERMS	DoD 5015.2 (4.5)	Fundamental	

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Enterprise Records Management Repository

Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
11.5	FSA ERMS	Audit	ERM repository audit utilities shall provide an account of records capture, maintenance, retrieval, and preservation activities to ensure the reliability and authenticity of a record.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.4)	Fundamental	
11.6	FSA ERMS	Audit	ERM repository shall provide the capability to store audit data as a record.	As stated in PSCS/ERMS	DoD 5015.2 (4.3)	Fundamental	
11.7	FSA ERMS	Audit Manage	ERM repository shall provide record management audit report writing capabilities, including the following:	As stated in PSCS/ERMS	DoD 5015.2 (4.3.4)	Fundamental	
11.7.1	FSA ERMS	Audit	ERM repository shall provide record management audit report writing capabilities, including total number of records.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.4)	Fundamental	
11.7.2	FSA ERMS	Audit	ERM repository shall provide record management audit report writing capabilities, including number of records by file tag.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.4)	Fundamental	
11.7.3	FSA ERMS	Audit	ERM repository shall provide record management audit report writing capabilities, including number of accesses by file tag.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.4)	Fundamental	
11.7.4	FSA ERMS	Audit	ERM repository shall provide record management audit report writing capabilities, including number of accesses by user group.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.4)	Fundamental	
11.7.5	FSA ERMS	Audit	ERM repository shall provide record management audit report writing capabilities.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.4)	Fundamental	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
11.8	FSA ERMS	Audit	ERM repository shall log the following audit information for each record delete operation:	As stated in PSCS/ERMS	DoD 5015.2 (4.3.5)	Fundamental	
11.8.1	FSA ERMS	Audit	ERM repository shall log the audit information for each record identifier.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.5)	Fundamental	
11.8.2	FSA ERMS	Audit	ERM repository shall log the audit information for each file tag.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.5)	Fundamental	
11.8.3	FSA ERMS	Audit	ERM repository shall log the audit information for each user account identifier.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.5)	Fundamental	
11.8.4	FSA ERMS	Audit	ERM repository shall log the audit information for each date/time.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.5)	Fundamental	
11.8.5	FSA ERMS	Audit	ERM repository shall log the audit information for each authorizing individual identifier (if different from user account identifier).	As stated in PSCS/ERMS	DoD 5015.2 (4.3.5)	Fundamental	
11.8.6	FSA ERMS	Audit	ERM repository shall log the audit information for each disposition to include disposition date.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.5)	Fundamental	
11.9	FSA ERMS	Audit	ERM repository shall log the following audit information for each access:	As stated in PSCS/ERMS	DoD 5015.2 (4.3.3)	Fundamental	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
11.9.1	FSA ERMS	Audit	ERM repository shall log the audit information for each access: Record identifier.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.3)	Fundamental	
11.9.2	FSA ERMS	Audit	ERM repository shall log the audit information for each access: File tag.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.3)	Fundamental	
11.9.3	FSA ERMS	Audit	ERM repository shall log the audit information for each access: User account identifier.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.3)	Fundamental	
11.10	FSA ERMS	Audit	ERM repository audit utilities shall provide a record of transfer and destruction activities to facilitate reconstruction, review, and examination of the events surrounding or leading to mishandling of records, possible compromise of sensitive information, or denial of service.	As stated in PSCS/ERMS	DoD 5015.2 (4.3.2)	Fundamental	
11.11	FSA ERMS	Audit	ERM repository shall, for transactional data, which allows for modification as part of a workflow process, identify the editable data elements and maintain a history of changes to those fields.	As stated in PSCS/ERMS	DoD 5015.2 (4.3)	Fundamental	
11.12	eZ-Audit	Audit	ERM repository shall provide the ability to capture and store Audit firm registration information.	eZ-Audit		Important	
11.13	eZ-Audit	Audit	ERM repository shall provide the ability to capture and store Auditor registration information for individual auditor users.	eZ-Audit		Important	
11.14	eZ-Audit	Audit	ERM repository shall provide the ability to capture and store Auditor Licensing information.	eZ-Audit		Important	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
11.15	eZ-Audit	Audit	ERM repository shall provide efficient access to audit data regardless of location.	eZ-Audit		Important	
12.1	FSA ERMS	Backup	ERM repository shall allow only the System Administrator (or designees) the capability to enable/disable the audit functions and to back up and remove audit files from the system.	As stated in PSCS/ERMS	DoD 5015.2 (4.4.7)	Fundamental	
12.2	FSA ERMS	Backup	Audit records shall be retained until authorized for disposition according to the appropriate Records Schedule or the General Records Schedule.	As stated in PSCS/ERMS	DoD 5015.2 (4.4.7.3)	Fundamental	
12.3	SLPC/NPC	Backup	The ERM repository shall provide the capability to backup permanent borrowers files from optical platters.	As stated in SLPC/NPC		Critical	
12.4	DoD Requirements	Backup	The ERM repository shall provide access restriction capability to authorized personnel for the specification of backup/audit options.		DoD 5015.2 (4.4.2)	Fundamental	
12.5	DoD Requirements	Backup	The ERM repository shall provide the capability to produce periodic backup copies of all records managed by the RMA at intervals specified by authorized users.		DoD 5015.2 (4.4.3)	Fundamental	
12.6	DoD Requirements	Backup	The ERM repository shall provide the capability to produce backup copies and audit trails containing only that information necessary to recover in the event of system failure and/or record loss.		DoD 5015.2 (4.4.5)	Fundamental	

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Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
12.7	DoD Requirements	Backup	The ERM repository shall provide the capability to create and maintain an audit trail of changes to the records repository managed by the RMA. The RMA shall produce duplicate (replicated) audit trails as a minimum on physically different devices. The audit shall contain all changes made to any records managed by the RMA and all control information necessary to provide the recovery capabilities specified.		DoD 5015.2 (4.4.4)	Fundamental	
12.8	DoD Requirements	Backup	The ERM repository shall provide the capability to produce backup and recovery procedures that provide the capability to complete updates (records and any control information such as indexes required to access the records) in the audit, ensure these are reflected in the RMA files, and assure that any partial updates to the RMA files are backed out.		DoD 5015.2 (4.4.6.1)	Fundamental	
13.1	FSA ERMS	Destruction	The ERM repository shall delete these records in a manner such that the records cannot be physically reconstructed.	As stated in PSCS/ERMS	DoD 5015.2 (2.9.4)	Fundamental	
13.2	FSA ERMS	Destruction	If an individual authorized to destroy records attempts to destroy records that are not eligible for destruction, the ERM repository shall notify the individual that the records are not eligible for destruction, and not allow destruction. This is a safeguard to prevent accidental or willful destruction of records, record categories, and related indexes ineligible for destruction.	As stated in PSCS/ERMS	DoD 5015.2 (2.9.2)	Fundamental	

¹ Priority weight scale consists of: Fundamental – Baseline requirements to meet DoD specifications; Critical – Certain NARA guidelines and requirements necessary to meet FSA’s business practices including eZ-Audit requirements; Important – Requirements that are not fundamental or critical but would add to the functionality of the repository. Fundamental and Critical requirements may be incorporated into release 1 of the ERMS. Remaining requirements may be incorporated in subsequent releases of the ERMS.

Enterprise Records Management Repository Requirements Specification Matrix

Number ID	Project	Function	Requirement	Justification/ Source	Standard	Priority ¹	Comments
13.3	FSA ERMS	Destruction	If the disposition of the superseded record is to destroy when replaced, the ERM repository shall identify that the record is eligible for destruction.	As stated in PSCS/ERMS	DoD 5015.2 (2.9.1)	Fundamental	
13.4	DoD Requirements	Destruction	The ERM Repository shall require a second confirmation of the destruction operation.		DoD 5015.2 (2.9.3)	Fundamental	

¹ Priority weight scale consists of: Fundamental – Baseline requirements to meet DoD specifications; Critical – Certain NARA guidelines and requirements necessary to meet FSA’s business practices including eZ-Audit requirements; Important – Requirements that are not fundamental or critical but would add to the functionality of the repository. Fundamental and Critical requirements may be incorporated into release 1 of the ERMS. Remaining requirements may be incorporated in subsequent releases of the ERMS.

Attachment A

ERM Repository and Application Program Interface (API)/Structured Query Language (SQL) Interface

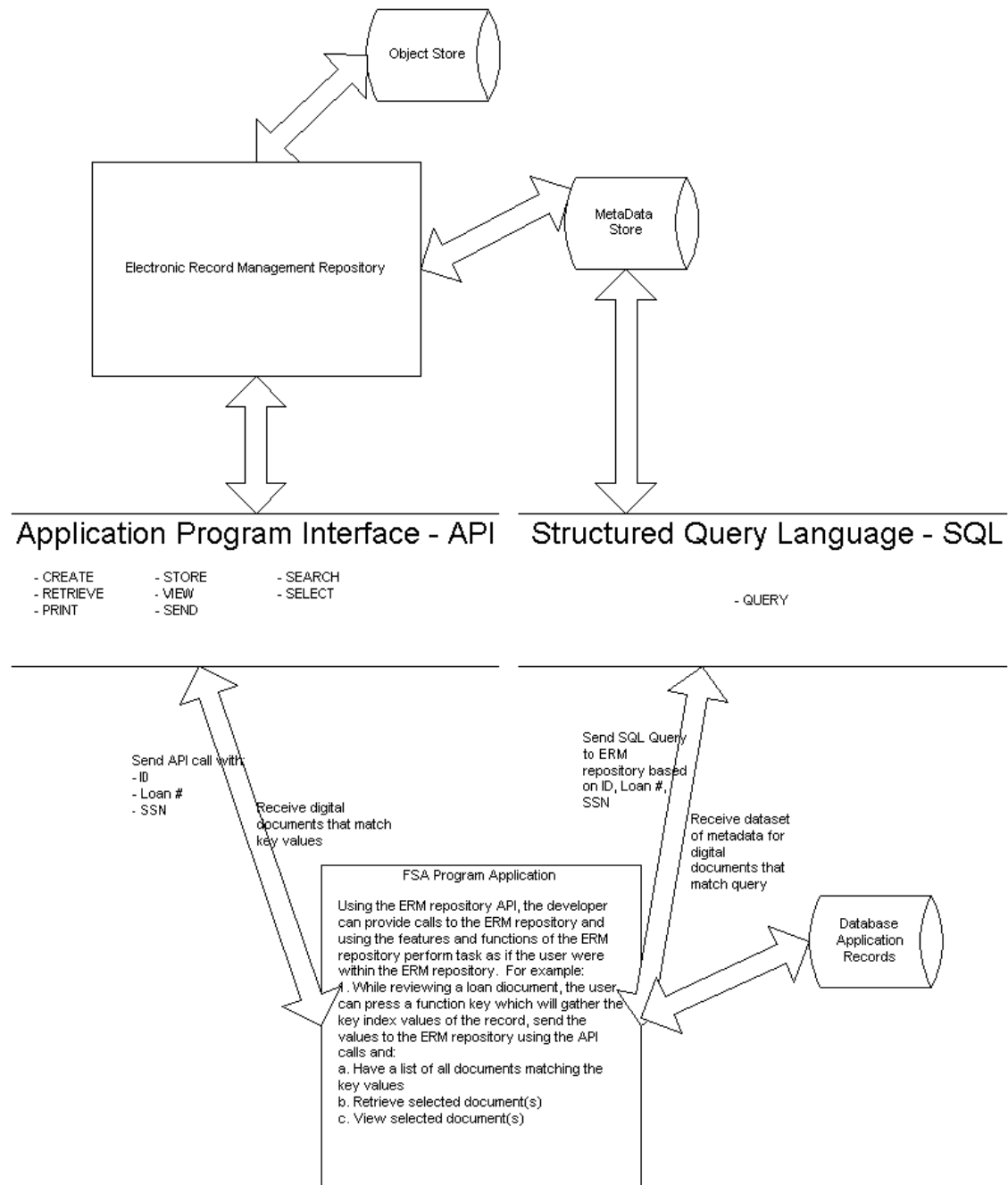
This matrix contains requirements specified by the users. In some cases the requirements are for applications yet-to-be-developed and in other cases for applications that currently exist as stove-pipe applications that may be eventually replaced. While these requirements are recorded and presented for the integrity of the interview process, the requirements are often stated at a level of specificity that may preclude design flexibility in the future.

To avoid that problem a generic requirement has been developed which can supplement or replace a more specific requirement.

The generic requirement calls for the ERM repository to provide (expose) its application program interface (API) so that other FSA applications can develop calls to the ERM repository, using the ERM repository's API, to manage digitized documents that relate to the application's database records.

As illustrated by the following diagram, the ERM repository provides exposure to both the API and the SQL-compliant database. Using the API, an application can now provide functionality of the ERM repository within the application and would include such tasks as searching for and retrieving digital documents that matched key values within the database application. These tasks would be accomplished within the database application and would appear to the user as if the functionality were built into the application itself.

Also, simple SQL queries directly to the metadata tables of the ERM repository could be accomplished using direct SQL scripts.



Attachment B

List of Acronyms

API	Application Program Interface
CFR	Code of Federal Regulations
CMO	Case Management Oversight
COD	Common Origination and Disbursement
DBMS	Database Management System
DMCS	Debit Management Collections System
DoD	Department of Defense
DoE	Department of Energy
EDIS	Electronic Document Imaging System
EDMS	Electronic Document Management System
ERM	Electronic Records Management
ERMS	Electronic Records Management System
FASFA	Free Application for Federal Student Aid
FIPS	Federal Information Processing Standards
FSA	Federal Student Aid
GPRA	Government Paper Reduction Act
GRS	General Records Schedule
IPT	Integrated Project Team
NARA	National Archives and Records Administration
OGC	Office of General Counsel
PEPS	Postsecondary Education Participants System
PSCS/ERMS	Preliminary System Configuration Specification/Electronic Records Management System
RMA	Records Management Application
SLPC/NPC	Student Loan Processing Center/National Payment Center
WIR	Warehouse Inventory Reporting System